



# **CIRM Workshop on Grants Management**

**September 13, 2011**

**1-4 p.m.**

# Grants Management Workshop Outline

## Pre-Award

- Grants Administration Policy
- Application and Funding Approval
- Pre-Funding Administrative Review

## Award

- Award Acceptance
- Payments

## Reporting

- Progress Reports
- Financial Reports/Case Study #1
- Other Reports

## Modifications

- Prior Approval Requests
- Case Study #2



# CIRM Grants Management

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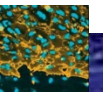
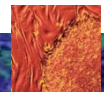
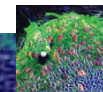
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# CIRM Funding Overview

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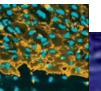
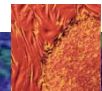
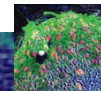


To date, we have awarded

453 grants

totaling

\$1,250,899,730

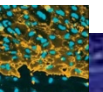
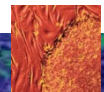
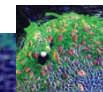


# Grants Administration Policy (GAP)

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- Current version, effective April 28, 2009.
- An update is under way and will be open to public comment for 45 days in late November or early December. Estimated effective date = January 2012.



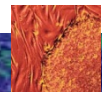
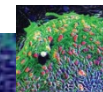
# RFA/PA

- Request For Applications (RFAs) and Program Announcements (PAs) schedule is posted on our website.
- Email notification is available.



# Application Process Overview

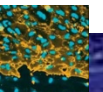
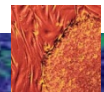
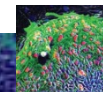
- Letter of Intent (LOI) or Pre Application
- Full Applications (proposal, personnel, budget).
- Grants Working Group (GWG) Review Meeting.
- Recommendations of the GWG.
- Independent Citizens' Oversight Committee (ICOC) considers applications and makes final funding decision.



# Pre-Funding Administrative Review Process



- After ICOC approval, a Just-in-Time (JIT) notification is sent to PI and AOO by email.
- Upon receipt of JIT materials, CIRM GM and Science Office perform full review of application to ensure that all CIRM requirements are met.
- JIT process may include additional budget and milestone negotiations. Conditions may be placed on the award by the ICOC or CIRM staff.





# CIRM Budgetary Review



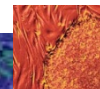
- Project Costs = “Direct Costs” (costs that can be specifically identified with a CIRM funded Project or Activity).
- Cost Allocation Concept: allowable, allocable and reasonable (as for awards subject to A21).
- Unallowables: visa expenses, malpractice, furniture, receptions, membership dues, telephone equipment, personnel recruitment, non travel-related food.
- Salary Caps – employees (currently \$213,000/yr).
- Consultant rate cap (\$416,597/yr).



# CIRM Budgetary Review (con't)



- Limits on Subcontracting/Consulting Outside California - \$15,000/contract/year; \$25,000/year in aggregate.
- Supplies includes service contracts, recharges, and Other Expenses.
- F&A must be accurate and consistent with published and/or previously approved rates.



# How CIRM calculates F&A

- **CIRM Facilities rate A and B**

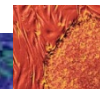
Facilities rate A and B based on components of the federally negotiated F&A rates, or the actual out-of-pocket lease cost incurred by a Grantee if the Grantee leases space to conduct approved research.

- **Adjusted Project Cost**

Excluded costs are equipment, tuition and fees, and subcontract/consulting agreements, in excess of \$25,000 per year.

- **Indirect Costs**

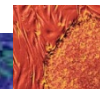
Most CIRM awards receive indirect costs equaling 20% of adjusted project costs + facilities costs. Indirect cost limits will be stated in the RFA.



# Facilities B and CIRM Major Facilities



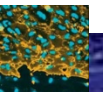
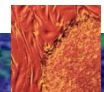
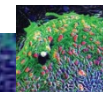
- Institutions with a CIRM Major Facility will not receive Facilities B for awards made to PIs listed in the Major Facility Utilization Report.
- All applications going forward contain three questions to determine the applicability of Facilities B cuts.



# Protocol and Other Support review



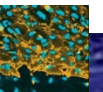
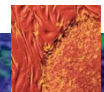
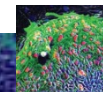
- Protocols must reference the CIRM award number and must be active by award start date.
- The need for assurances is reviewed for accuracy by the Scientific Program Officer.
- A condition may be placed on the award for protocols needed later in the project.
- Other Support should follow NIH format.
- Scientific Overlap must be addressed.



# Notice of Grant Award

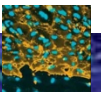
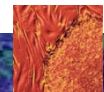


- Original NGA must be signed and returned to CIRM within 45 calendar days.
- First payment will be released on receipt of fully-executed NGA.
- Pre-award spending policy – 90 days before project start date as listed in the NGA, at the Grantee's risk.



# Grant Payments

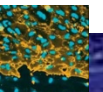
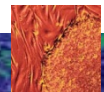
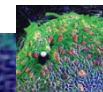
- Quarterly payments per budget period
- Final quarterly payment is held until all final reports, including publication and invention disclosures, are received and approved.
- Payments may be withheld when a reporting requirement is overdue or there is a substantial unobligated balance.
- Payments take about two weeks to be fully processed.





# Progress Reports

- Annual, Semi-Annual and Quarterly per RFA Requirements.
- Annual report due by COB the day after budget year close.
- Submitted through CIRM grants portal or by PDF to Grants Management Office, depending on type of report and RFA.





# Progress Report common problems

- If signature page is not uploaded the report is not complete.
- Missing assurances or not covering entire reporting period. Not referencing CIRM award as funder. Explain any gaps in approval coverage.
- Key personnel vs. additional personnel. Key Personnel are “ individuals who contribute to the scientific development or execution of the project in a substantive, measurable way”.
- PI effort reported in the Personnel Overview should match what is reported in the Other Support.



# Financial Reports

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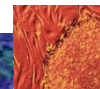
- Annual and Quarterly per RFA Requirements.
- Annual Financial report is due within 90 days of budget year close.
- Submitted by PDF to Grants Management Office.



# Financial Report Review

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- Approved Budget.
- Carryforward from Previous Budget Year.
- Changes.
- Working Budget = Approved + CF + Changes
- Unobligated balances.
- Case Study #1 – “year two annual financial report”.



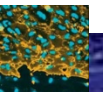
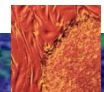
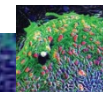
# Other Reporting Requirements

- Publication and Invention Disclosures
  - Publication Disclosures are now submitted online.
  - Invention Disclosures submitted by PDF.
  - Invention Utilization and Licensing Reporting – 15 years
- Trainee Appointment and Termination forms
- Site Visits
  - Shared labs, Major Facilities, Training grants, Compliance.
- Record retention – 5 years from final report



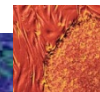
# Prior Approval Requests (PARs)

- Prior approval is required for a variety of changes to the approved project, see GAP for a complete list.
- A PAR is requested by submitting a complete and signed PAR form to the Grants Management Office.
- PAR form contains specific instructions for each type of request.
- If approved, the PAR results in an Amendment to the NGA. In all cases, CIRM will attempt to address PARs in a timely manner.



# Rebudgeting PARs

- What, Where, When, Why?
- Thresholds requiring Prior Approval:
  - Personnel/Trainees: > \$5K & 25% of working budget
  - Supplies: > \$5K & 25% of working budget
  - Travel: > \$2K & 25% of working budget
  - Consult/Subs: > \$1.5K & 25% of working budget
  - Equipment: > \$1.5K & 25% of working budget
- Rebudgeting into and out of excluded cost categories.
- Special concerns for training awards.
- Case Study #2: “Rebudgeting from equipment to supplies”.



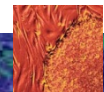
# Other PARs

- Carryforward of funds over 25% of working budget.
- Change of PI or Decrease in PI effort.
- Relinquishment or transfer of award.
- Change of Scope.



# No-Cost Extension PARs

- Due 30 days prior to project end date.
- Must make a clear scientific case for extension.
- Must include estimate of carryover available for the requested extension period.
- Extension length should correlate with available funds and scientific work proposed.





# Q&A

- CIRM website walkthrough
- End of Presentation
- Q&A Session

## CIRM Grants Management

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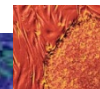
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